### **CHAPTER 3**

### MATERIAL RECEIPT, CUSTODY, AND SURVEYS

As an AK2, you will be performing duties, both ashore and afloat, relative to the receipt, custody, and survey of material. To perform these duties, you should be familiar with organization, receiving operations, types of receipt, methods of delivery, files, receipt preparation, inspection and verification, surveys, and disposition of material. This chapter contains information about the receipt, delivery, custody, security, identification, and survey of material and the preparation of documentation applicable to these topics.

#### MATERIAL RECEIPT

Material receipt is gaining possession of an item of Navy property through acceptance of physical custody. Control of this material after receipt and before it is forwarded to storage, issued to a requesting department, or forwarded to the transportation section for further movement is a critical supply requirement.

Material may be received from several transportation sources such as the U.S. Postal Service, commercial or government air freight, commercial trucking firms, the United Parcel Service (UPS), vendor deliveries, commercial or government water freight, Department of Defense (DOD) owned vehicles, or direct pickup from a vendor.

This material may be designated for stock, direct turnover (DTO) to a department or local supported activity, to a holding area for pickup by a Navy contractor, or to a packing and shipping unit when further consignment is required.

Regardless of the source of the receipt or its final destination, it is absolutely necessary that controls be established in receiving units to identify the quantity received, the source and date of the receipts, the unit to which physical custody was transferred at the completion of the receiving process, and the date on which the received material was released.

### METHODS OF DELIVERY

The various methods of material delivery are discussed in the following paragraphs.

### **Direct Delivery**

The receipt of material or services from a government or commercial source and acceptance by a ship, squadron, or group representative at either the point of delivery or source of supply are known as direct delivery. After receipt has been acknowledged, material is owned by the Navy and services are considered satisfactory unless discrepancies are noted. The supply officer must establish procedures to make certain only authorized personnel pick up, receive, or sign for material or services.

#### **Freight**

All commercial and government deliveries shipped under a bill of lading are classified as delivery by freight. Material transshipped from a government source is also classified as freight when deliveries are combined and shipped via the DOD transportation system. Freight can be received in the United States, foreign ports, and during underway replenishment (UNREP).

#### Mail

Small items are often sent and received via the U.S. Postal Service, including letters and packages sent by way of the various postal programs. The supply officer is responsible for establishing and maintaining a list of personnel authorized to receive official mail.

## PREPARATION FOR MATERIAL RECEIPT

The supply officer and personnel assigned to receiving operations must be flexible in routine

daily procedures and be able to adjust to any conditions necessary in the receipt of material. The purpose of preparing for receipt of material is to guarantee the timely and accurate receipt processing and distribution of incoming material.

The most important part of any supply operation is to guarantee the safety of all personnel involved. The supply officer is responsible for making sure certain safety rules are observed, especially for inexperienced personnel. This delegation is passed to the supervisor of receipt processing who must make certain the following rules are observed:

- Personnel must be properly equipped with safety equipment such as safety shoes, gloves, and hard hats.
- Personnel must be qualified to operate materials-handling equipment used in the operation.
- Personnel must be knowledgeable of procedures to be followed during emergency situations.

#### MATERIAL RECEIPT ASHORE

The receiving branch ashore plans and directs operations necessary to physically receive incoming material for storage, DTO, or transshipment. The functions normally assigned to a receiving organization at a local supply activity include receipt and inspection of incoming material, segregation and delivery of incoming material, preparation of reports, preservation and packaging of material for storage or shipment, initiation of tracer action for incoming material when required, and maintenance of files relating to all receiving functions.

#### MATERIAL RECEIPT AFLOAT

The material receipt process afloat involves the identification, storage, issue, and recording of all material previously requisitioned or purchased and received by the activity. As an integral part of the supply receipt process, all material received must be properly identified, stored (if the material is for stock), issued (if the material is for DTO), and recorded in the stock records in a timely fashion.

#### SUPPLY SUPPORT RESPONSIBILITIES

Responsibilities for specific individuals and work centers within the supply department for material receipt processing are discussed in the following paragraphs.

### **Supply Officer**

The supply officer is directly responsible for the entire receiving process. He or she delegates the responsibility for physical receipt of incoming stores, except for ship's store stock and food items, to the stores or material officer.

#### **Stores or Material Officer**

The stores or material officer reports to the supply officer on all matters pertaining to receiving. This includes, but is not limited to, material receipt preparation, material inspection, storeroom maintenance/integrity, UNREP, and transit shed/butler hut operations.

#### **Stock Control Officer**

The stock control officer reports to the supply officer, or to the stores or material officer on an aircraft carrier, on all matters pertaining to receiving. This includes, but is not limited to, receipt reversals, receipt reporting, financial inventory report (FIR) code imbalances, and receipt discrepancies.

#### **Leading Material Storekeeper**

The leading material Storekeeper is responsible for making sure incoming material is properly receipted, identified, inspected, segregated between stock and DTO, and distributed to the appropriate supply department storerooms or to other departments if the material is DTO.

When the leading material Storekeeper is absent during normal working hours, the next senior material Storekeeper assumes the duties. In the performance of these duties, the leading material Storekeeper who has been delegated the responsibility for receiving incoming stores exercises direction over other Storekeepers and

working parties assigned to assist in the receipt of incoming stores.

### **Duty Storekeeper**

The duty Storekeeper is responsible for making sure all material delivered to the activity after normal working hours, on weekends, or on holidays is receipted, identified, inspected, and placed in the designated receiving section or turned over to the requesting department if the material is DTO. When sufficient personnel in the duty section are available, stock material may be placed in the appropriate storeroom. The duty Storekeeper also makes sure receipted documents are properly marked and passed to the leading material Storekeeper on the following workday.

#### RECEIPT DOCUMENTATION

All material and services received must be accompanied by a receipt document. When material is received without paper work, the receiving section personnel must immediately prepare a dummy receipt for processing. Incoming material should be accompanied by one or several receipt documents depending on the method of purchase, supplier, type of delivery, and government inspection requirements. Any document received with the material or service that contains enough information to process the receipt maybe used as a receipt document. Although a variety of receipt forms are used in receipt of material, the processing of all receipts is the same within the SUADPS-RT.

## DOD Single Line Item Requisition System Document (Manual), DD Form 1348

The DD Form 1348 (6-part) generally is used both as a requisition and receipt document for most materials transferred between nonautomated ships. Receipt for such transfer, when required by the issuing ship, is acknowledged on the white copy of the DD Form 1348 that accompanies the material. Receipt acknowledgement is always required on the requisitioner's hardback copy of the DD Form 1348 before it is placed in the material completed file.

Receipt on the white copy and/or hardback copy of the DD Form 1348 is indicated by circling the quantity received and accepted and entering a receipt date and signature in the Remarks field as shown in figure 3-1.

### Single Line Item Consumption/ Requisition Document (Manual), NAVSUP Form 1250-1

The NAVSUP Form 1250-1 is used as a consumption document and as a requisition document by nonautomated ships. When the NAVSUP Form 1250-1 is submitted as a requisition to the parent tender, the white copy returned with the material is processed as a receipt invoice.

Receipt is indicated by circling the quantity figure in block A and entering a receipt date and signature in data block 31 (or in data block 30

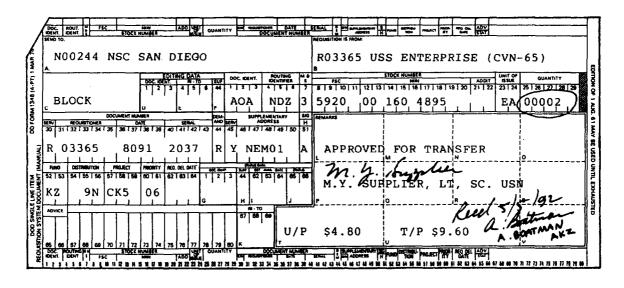


Figure 3-1.—DD Form 1348 (6-part) manual receipt.

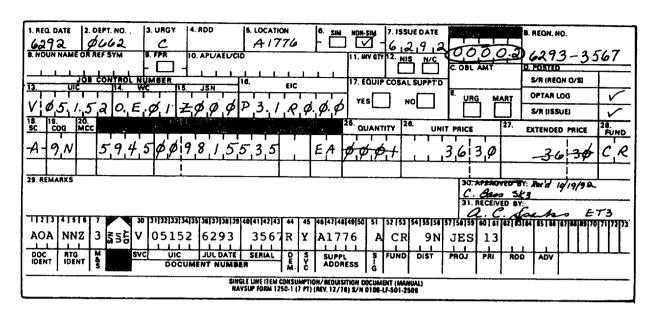


Figure 3-2.—Single Line Item Consumption/Requisition Document (Manual), NAVSUP Form 1250-1.

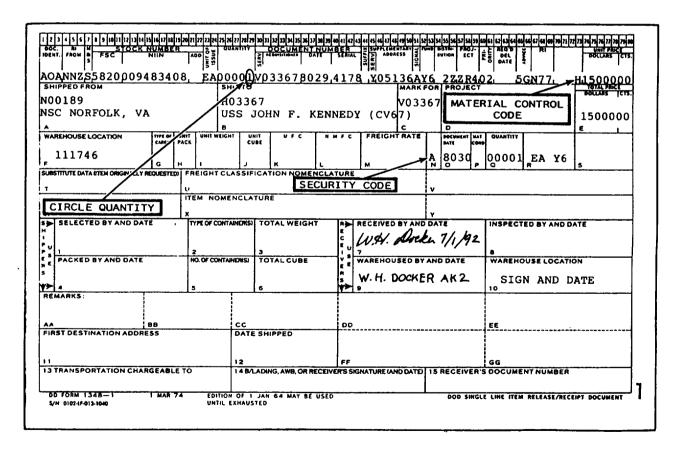


Figure 3-3.—DOD Single Line Item Release/Receipt Document, DD Form 1348-1.

if the item was ordered for stock replenishment incident to an issue) as shown in figure 3-2.

## DOD Single Line Item Release/Receipt Document, DD Form 1348-1

Receipts from shore activities and automated afloat units are done either on a DOD Single Line Item Release/Receipt Document, DD Form 1348-1, or an Issue/Receipt Release Document (IRRD). Examples of these receipt documents are shown in figures 3-3 and 3-4.

When material is received on a DD Form 1348-1, the following procedures apply:

- 1. The quantity is circled if the quantity received is the same as that indicated on the document. If the quantity is different, the original quantity is lined out and the correct quantity is entered immediately above the original quantity and circled.
- 2. The date received and signature are entered in block 7.
- 3. Block N of the DD Form 1348-1 contains the security code for the item shipped, and card column 73 contains the material control code (MCC).

Receiving personnel should be familiar with both MILSTRIP and local management coding and command instructions for controlled items.

When the material is received on an IRRD, the following procedures apply:

- 1. The IRRD is designed to be used with shipboard LOGMARS processing equipment and is processed the same as procedures prescribed for DD Form 1348-1.
- 2. The security and MCC information is contained in the lower left portion of the IRRD and is used for receipt processing.

## Requisition and Invoice/Shipping Document, DD Form 1149

The Requisition and Invoice/Shipping Document, DD Form 1149, is normally used to requisition or receive specific materials or services such as repairs or rental equipment. When material or services are received on a DD Form 1149, a technical inspection by the ordering department is done, if required. The unique nature of the material received on the DD Form 1149 requires that receiving personnel be extremely careful when processing these receipts and thereby make certain material is safeguarded and properly

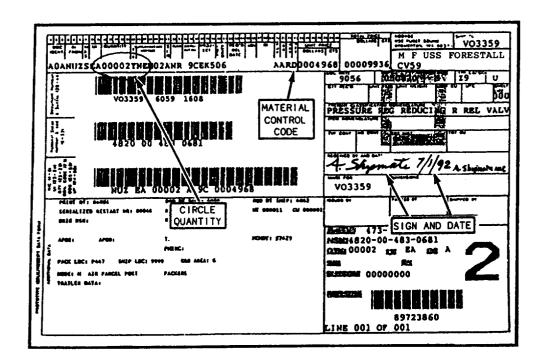


Figure 3-4.-Issue/Receipt Release Document (IRRD).

distributed. Figure 3-5 shows an example of how to fill out a DD Form 1149. After technical review and acceptance, receiving personnel complete the DD Form 1149 receipt document as follows:

- 1. Mark and circle the quantity in column D.
- 2. Date and sign the DD Form 1149 in the lower right portion of the document, but not over any existing information.

### Order for Supplies and Services, DD Form 1155

Receipts from commercial sources on an Order for Supplies and Services, DD Form 1155, are completed by circling the quantity in column 20 and entering the date and signature in block 26 (fig. 3-6). Proper processing of DD Form 1155 receipts requires a familiarity with the terms and concepts discussed in the following paragraphs.

Direct delivery. Blocks 13 and 14 of the DD Form 1155 indicate that the material and invoice

will be sent directly to the ordering activity. In such cases, the ordering activity is responsible for both a quality and quantity certification, stating that the material was not only received but was also technically acceptable.

Receiving personnel are not normally qualified to make these technical judgments, so a technical specialist from the ordering department or unit is contacted to confirm acceptance before the DD Form 1155 has been completed. Figure 3-6 shows receipt for direct delivery on a DD Form 1155.

Fast pay procedure. Fast pay is defined as payment made to a commercial source based on proof of shipment by the vendor. This process is limited to items that are considered as not requiring technical certification at the destination. If the fast pay clause (clause 15) is indicated in block 16 of the DD Form 1155, receiving personnel need only receipt for the quantity received in block 26 (fig. 3-6). The quantity in column 20 must be corrected if different from the quantity actually received.

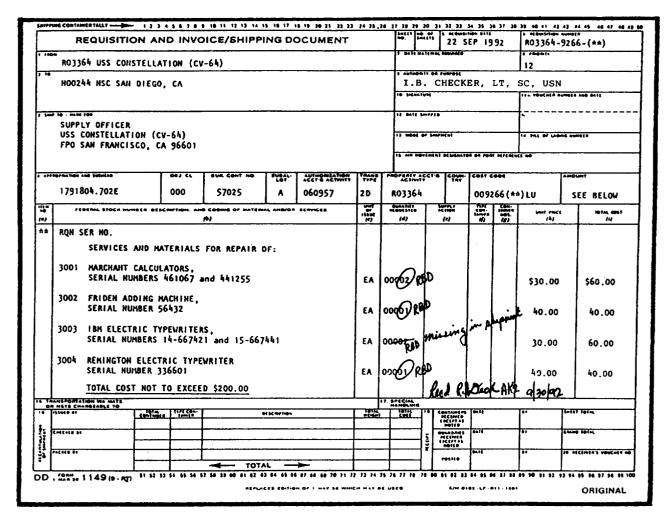


Figure 3-5.—Requisition and Invoice/Shipping Document, DD Form 1149.

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Figure 3-6.-Order for Supplies and Services, DD Form 1155 (direct delivery/fast pay).

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Figure 3-7.-Order for Supplies and Services, DD Form 1155 (indirect delivery).

Indirect delivery. When blocks 13 and 14 indicate that the material and the invoice will be sent to an ashore activity for transshipment to an afloat activity, the supporting ashore activity performs the technical inspection and confirms acceptance of the material. In this case, receiving personnel need only verify the quantity of material received (fig. 3-7).

Customer pickup. The procedure for obtaining material on a DD Form 1155 often involves a customer pickup when the ordering department goes directly to the vendor to obtain material. The supply officer must establish local procedures to make sure all material is picked up and the DD Form 1155 copy is removed from the bearer suspense file and processed through the receiving section.

Advance notification. The ordering activity receives advance notice for each DD Form 1155 purchase placed by another activity in response to a requisition. The advance package includes a

copy of the DD Form 1155 and a preaddressed card entitled Report of Nonreceipt, Damage, or Nonconformance.

Report of nonreceipt, damage, or nonconformance. When material received under contract on a DD Form 1155 is damaged in shipment, not received within 60 days of the specified delivery date, or not technically acceptable (direct shipments only), the ordering activity completes and returns the report of nonreceipt, damage, or nonconformance document (fig. 3-8) received with the advance DD Form 1155 copy. Receiving personnel should then notify the procurement section to begin new procurement action if necessary.

## Material Inspection and Receiving Report, DD Form 250

The Material Inspection and Receiving Report, DD Form 250, is used to verify material

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Figure 3-8.-Report of nonreceipt, damage, or nonconformance.

inspection and acceptance for items received directly from a contractor. Receiving personnel review the DD Form 250 to determine what type of certification is required. The types of certification are as follows.

Acceptance at destination (code D). When acceptance at destination (code D) has been indicated in block 8, and 21B indicates procurement quality assurance (PQA) and acceptance, a qualified technician from the ordering department is contacted to inspect and certify material acceptability in block 21B.

Receiving personnel must certify the quantity received in block 22. If the quantity received is different than the quantity indicated or if the material is damaged, the quantity in column 17 must be lined out and the quantity received in good condition entered and circled. An explanation of the differences is written directly below the adjusted quantity as shown in figure 3-9. When acceptance at destination (code D) has been indicated in block 8 and block 21A has been completed for PQA at origin, receiving personnel then certify the quantity received in block 22. Quantity differences are documented the same way as previously discussed.

Acceptance code S or O. When acceptance code S or O (source or other) has been indicated in block 8 and block 21A has been completed for PQA and acceptance, receiving personnel need only to certify the quantity received in block 22.

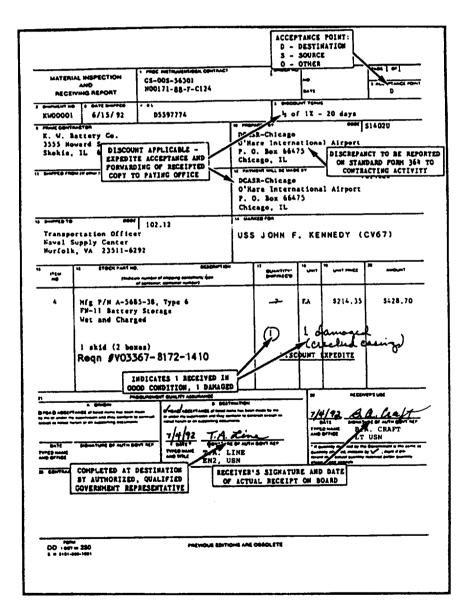


Figure 3-9.-Material Inspection and Receiving Report, DD Form 250.

Material receipt. Receipts for material received on a DD Form 250 must be processed as soon as possible to fulfill the discount terms indicated in block 5. This type of material is normally expensive and expedited processing can result in a reduced cost to the government (fig. 3-9).

## Government Bill of Lading (GBL), Standard Form 1103

A Government Bill of Lading (GBL), Standard Form 1103 or Standard Form 1103B, may be used to provide delivery instructions to a

commercial carrier or to provide receipt documentation to the ordering activity. Shore activities sometimes divert commercial deliveries directly to ships in the area to eliminate the need for double handling of material. In such cases, it is the ship's responsibility to notify the ashore support activity of any material received short or damaged. Deliveries by commercial carriers are not always scheduled. Receiving personnel must be able to react quickly to unexpected deliveries to avoid additional charges against the government by the commercial carrier. A sample GBL is shown in figure 3-10.

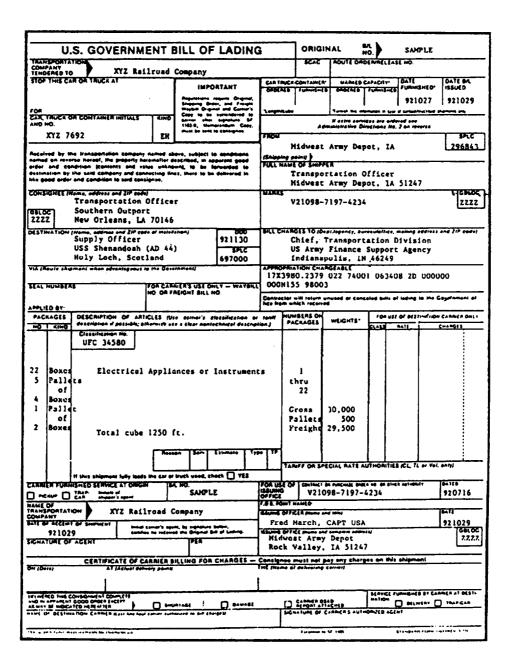


Figure 3-10.—Government Bill of Lading, Standard Form 1103.

#### RECEIPT DISCREPANCIES

Material discrepancies are divided into two categories. The first category includes discrepancies such as overages, shortages, damages, incorrect, or not-received material. These discrepancies are normally caused by the activity that shipped the material or by the transportation system.

The second category includes material quality discrepancies. Material received in this category cannot be used for its intended purpose because it does not meet specified (form, fit, or function) requirements. These discrepancies are caused by manufacturing or repair facility or, in some cases, incorrect specifications.

#### **Shipping Discrepancies**

Shipping discrepancies attributable to or the responsibility of the activity shipping the material (including contractors, manufacturers, or vendors) are reported by the receiving activity on a Report of Discrepancy (ROD), Standard Form 364.

For shipments received from DOD activities, GSA supply distribution facilities, contractors, and manufacturers, a ROD is prepared to report materials with one or more of the following discrepancies:

- Shortages or overages valued in excess of \$100 per line item, except classified or protected items that are reported regardless of the dollar value. Shortages or overages valued at \$100 or less and reported shortages that were not credited or replaced by the consignor are processed as an original receipt.
- Erroneous material, unacceptable substitutes, or duplicate shipments regardless of dollar value. An exception to this is erroneously issued material that can be readily reconciled with a local supply activity.
- Material received from a previously canceled requisition for which a copy of the confirmation of cancellation is required and the line item is in excess of \$100.
- DOD shipments (line item value in excess of \$100) when the condition of the item is found to be other than that shown on the shipping document.
- Material with a line item value in excess of \$100 with an expired shelf life.
- Material shipped to the wrong activity, regardless of value.

- Material with item technical data markings that are missing or incomplete.
- Material with supply documentation that is missing or improperly prepared, regardless of dollar value.
- Items with a line item value in excess of \$100 that were reported shipped by parcel post but not received or received in a damaged condition.
- Repair material received that has been stripped of parts or components without inventory manager authorization, regardless of dollar value.
- Material with repetitive discrepancies observed, regardless of dollar value.

Discrepancies <u>excluded</u> from the reporting procedure described above are as follows:

Discrepancies found while material was in storage.

Discrepancies involving local base or station deliveries to or return from internal satellite activities.

Discrepancies involving shipments of privately owned vehicles.

Shipping-type discrepancies involving personal property shipments.

Product quality deficiencies.

Transportation-type discrepancies covered by NAVSUPINST 4610.33.

Discrepancies resulting from UNREP.

### **Packaging Discrepancies**

A discrepancy report must be made on the following packaging discrepancies:

- Unsatisfactory conditions resulting from improper packaging that cause or render the item, shipment, or package vulnerable to loss, delay, or damage when the estimated or actual cost of correction exceeds \$50. This may include loss or damage to the item, shipment, or package except when the report is otherwise required as prescribed in NAVSUPINST 4610.33.
- Packaging-related discrepancies, resulting in damaged material that may endanger life, impair combat or deployed operations, or affect other material. These types of discrepancies must be reported immediately to the shipping activity, contracting office, and control point by the fastest communication medium to enable the shipper to

take immediate corrective action. Standard Form 364 must be transmitted by mail within 24 hours of the initial report.

- Improper identification of containers or items that opening the container or items that require opening the container or result in improper storage of the material regardless of cost.
- Packaging discrepancies, regardless of cost, involving hazardous materials, including improper identification markings of items and packs of utilized loads, regardless of whether damages or other unsatisfactory conditions have resulted.
- Excessive packaging by contractors resulting in additional cost to the government.
- Repetitive packaging discrepancies that impose a significant burden on receiving or transshipment activities.

## PREPARATION OF THE REPORT OF DISCREPANCY

Item and packaging discrepancies are reported on the ROD, Standard Form 364. An original and as many copies as required are prepared for distribution to applicable activities. A ROD, Standard Form 364, is shown in figure 3-11.

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14. TYPEO OR PRINTED NAME, TITLE, AND TANK OPERATOR 958-0111, AS J.J. WHITECAP, LCDR, SC, USN 13. DISTRIBUTION ADDRESSES FOR COPIES		litesap

Figure 3-11.-Report of Discrepancy (ROD), Standard Form 364.

The Standard Form 364 (ROD) is submitted by receiving or transshipping activities within 15 calender days from the date of receipt of shipments from all activities. When extenuating circumstances prevent submission of the ROD within this time frame, the reason for delay is entered in block 12 of the ROD. A ROD is submitted by all activities 70 calender days from the date of shipment from government activities and 60 calender days from the date of shipment from commercial sources for items determined to be lost through parcel post shipments.

Action activities are required to reply to customers within 45 days of receipt of the ROD providing resolution of the discrepancy or interim status. When a ROD is passed to another activity for further action, the customer is advised. To allow for mailing each way, the first follow-up to a ROD should be sent to the action activity 60 days after the submission of the original ROD. Subsequent follow-ups should be sent at 30-day intervals.

For instructions on how to prepare the ROD, refer to table 3-1. Activities submitting the ROD are responsible for all follow-up action.

Table 3-1.—Instructions for Preparation of DD Form 364

Data Block	Explanation
	Indicate whether shipping or packaging discrepancy or both by placing Xs in the appropriate box at the top of the form. Mailing envelopes should be conspicuously marked SF 364.
1	Date of Preparation. The report is prepared in sequence of year, month, and day; for example, September 22, 1987 is written 87 SEP 22.
2	Report Number. Enter the serial number of the report; for example, the fifth report of the calendar year, enter 005/87.
3	To. Enter name, address, ZIP Code, activity address code or routing identifier code, and attention symbol or code of action activity. When both shipping and packaging discrepancies are reported for the same item, enter See item 15.
4	From. Name, address, and ZIP Code of the reporting activity (consignee).
5a	Shipper's Name. Enter the name and address of the shipper (consignor) when different from item 3.
5b	Number and Date of Invoice. Enter number and date of vendor's invoice or shipper's bill number. Attach a copy of invoice to the SF 364. (Not applicable to packaging discrepancies.)
6	Transportation Document. Enter the type of transportation document, GBL, commercial bill of lading (CBL), manifest, waybill, insured or certified parcel post number, or TCMD and the identifying number assigned to such document. This is a mandatory entry when shipment received was made via a traceable means. In addition, for shipment-type discrepancies, the following statement should be included in block 12: Shortage has been verified as not being transportation related.

Table 3-1.-Instructions for Preparation of DD Form 364—Continued

Data Block	Explanation
7a	Shipper's Number. Enter shipment number (when more than one shipment is under a contract or requisition) and contract or document number.
7b	Office Administering Contract. Enter name, address, and ZIP Code of the contract administration office (CAO) activity that directed or arranged the shipment.
8	Requisitioner's Number. Enter the requisitioning activity's number (requisition or purchase order number). Entry of the applicable requisition document number is mandatory in all cases, even though a contract or purchase order is involved.
9a	NSN/Part Number and Nomenclature. When the item received is different from the item shown on shipping documents or different from the item requisitioned, enter each item on a separate line.
9b	Unit of Issue. Enter the unit of issue as billed or indicated on the shipping document for each item listed in item 9a. (Not applicable to packaging discrepancies.)
<b>9</b> c	Quantity Shipped/Billed. Enter the quantity of item shipped or billed. When discrepancy code C1 is applicable, enter the quantity and the supply condition code of the item when shipped. (Not applicable to packaging discrepancies.)
9d	Quantity Received. Enter the quantity of item received.
10a	Discrepancy Quantity. Enter the discrepant quantity. When discrepancy code C1 is applicable, enter the quantity and the supply condition code of the item received. If total quantity received is classified under more than one condition code, enter separately each partial quantity so classified, followed by the applicable condition code.
	NOTE: When overage material (expired shelf life) is received and discrepancy code Q1 or C2 is applicable, enter the following information under item 12 remarks:
	<ul> <li>a. Manufacturer's name</li> <li>b. Contract or purchase order number, if not shown in item 7a</li> <li>c. Date of manufacture, pack, or expiration</li> <li>d. Lot/batch number</li> <li>e. Location of material</li> <li>f. Name, address, and telephone number (if available) of contact person</li> </ul>
	g. Nature of complaint, stating in detail why material is unsatisfactory.

10b Discrepancy Unit Price. Enter the unit price as billed or shown on shipping document. (Not applicable to packaging discrepancies.) 10c Discrepancy Total Cost. For shipping discrepancies, enter the total money value of material. For packaging deficiencies, enter cost of corrective action. 10d Discrepancy Code. Select the appropriate discrepancy code listed on the face of the SF 364 and enter in this block. When a condition exists that is not listed, use code Z1 and describe the discrepancy in block 12. 11 Action Code. Enter requested action to be taken from codes listed on the face of the form. When action is other than that covered by the listed action codes, use code 1Z and explain action requested in block 12. Action code 1D or 1F is not used on reports prepared to cover shipments of DOD stock-funded items or GSA material. Material still required must be reordered. Action code 1E applies only to local purchase items. 12 Remarks. Use this block for supplemental information where the combination of discrepancy codes and action codes need clarification, where shipping and packaging discrepancies need explanation, and where a breakout of cost to reports in terms of time and materials is required. Include specific data such as appearance, lot or batch number, manufacturer or packaging data, inspector number and inspection date, probable cause of improper packaging, and suggested corrective action. When reporting shortages or nonreceipt of items shipped by parcel post from GSA, a statement must be included in block 12 to cover all packages received that were shown as shipped in item 5 of GSA Form 1348-1. Include telephone number (AUTOVON and commercial) of the individual to be contacted for additional information if different than that entered in block 14a. When medical material requiring refrigeration or frozen storage is involved, provide the information requested on the special instruction sheet that is included within shipments of such material. Provide photos when it will assist the shipping activity in determining the cause of the discrepancy or deficiency. 13 Funding and Accounting Data. For packaging discrepancies, enter the accounting or appropriation data required by the action activity to credit the account of the reporting activity for costs involved in correcting the reported discrepancies. This item does not apply to shipping discrepancies. 14a Typed or Printed Name, Title, and Phone Number of Preparing Official. Self-explanatory. 14b Signature. Self-explanatory. 15 Distribution Addressees for Copies. Enter all other addressees that are to receive copies of the report.

## MATERIAL TURNED IN TO STORES ASHORE

Supply support in a changing environment creates the need of a process by which the return of unneeded material can be screened for further use. Turn-in of material from consumers to Navy stock requires that activities turning in the material be given credit as appropriate.

Navy material returned to stock points has traditionally been called material turned into store (MTIS) since stock points carry material in stores accounts. MTIS primarily exists to take ready-forissue (RFI) turn-ins from customer activities and return them to stock to meet other Navy requirements. It may also be used to return erroneous issues by stock points or to obtain needed repackaging/represervation with prior arrangements with the stock point (normally with customer service). Each transfer must be approved by the supply officer and entered in the expenditure record log.

MTIS transactions <u>do not</u> include transfer of material to disposal or depot level repairable (DLRs) in not-ready-for-issue (NRFI) condition.

Turn-in of RFI material is accomplished by using a DD Form 1348-1 prepared by typewriter or ball-point pen (fig. 3-12). Refer to NAVSUP P-485, chapter 5, for instructions on how to prepare the turn-in document.

#### **CREDIT FOR TURN-IN**

Credit for turn-ins is given to the type commander (TYCOM) allotment indicated by the fund code on the DD Form 1348-1.

Credit cannot be given for the following:

- Appropriation purchase account (APA) free issue items
- Unidentified material-material without a national stock number (NSN) including Navy item control number (NICN) and commercial and government entity (CAGE)/part number
- Material turned in with an extended money value of \$20 or less due to the cost of processing such credits

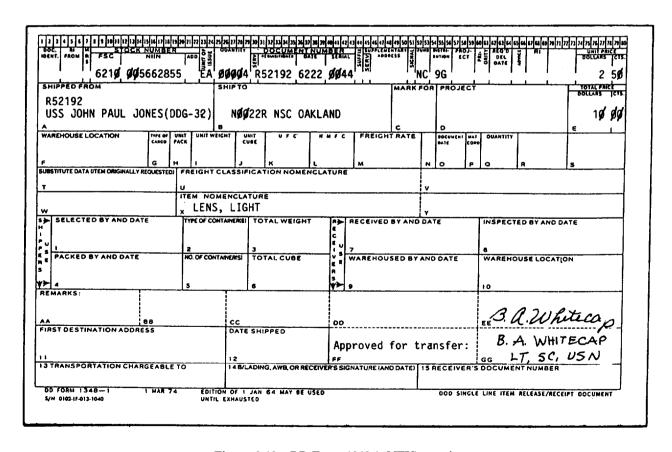


Figure 3-12.—DD Form 1348-1, MTIS turn-in.

## TURN-IN OF NOT-READY-FOR-ISSUE (NRFI) REPAIRABLE

All NRFI repairable items turned in are staged for shipment to the designated advance traceability and control (ATAC) HUB facility and further shipment to the designated overhaul point (DOP). For aviation activities, turn-in of NRFI repairable is only made by the aircraft intermediate maintenance department (AIMD) beyond capability maintenance (BCM) action for items originating from a supported department or unit. Promptly upon receipt of an NRFI repairable, a DD Form 1348-1 must be prepared for the earliest possible shipment.

As the DD Form 1348-1 is the basic document used by the supply system, it is essential that the form be prepared accurately and completely. Refer to NAVSUP P-485, chapter 5, for the prescribed format, A sample filled-out DD Form 1348-1, turn-in unserviceable DLR, is shown in figure 3-13.

When check/test/repair capability <u>does not</u> exist at the local IMA, all aviation DLRs and some designated field level repairable (FLRs) must be shipped to the designated support point (DSP) or

DOP or to another activity having the capability to repair that component. Under normal circumstances, the determination must be made within 24 hours.

When determined that repair capability does not exist, the component is shipped to another activity within 48 hours. Total hold time for IMA, supply, and maintenance may not exceed 3 days.

#### MATERIAL CUSTODY

When material is stored in storerooms or other areas assigned to the supply department, the supply officer is responsible for the storage, security, and inventory control of the material. The supply officer may delegate this responsibility to the person in charge of the storeroom or storage area.

Stock material may be stored in other than supply department spaces when the requirements stated in NAVSUP P-485 and NAVSUP P-567 have been met. The supply officer maintains records relating to supply transactions of all material stored in other department spaces.

Another category of custody is material in subcustody of other department heads. Maintenance

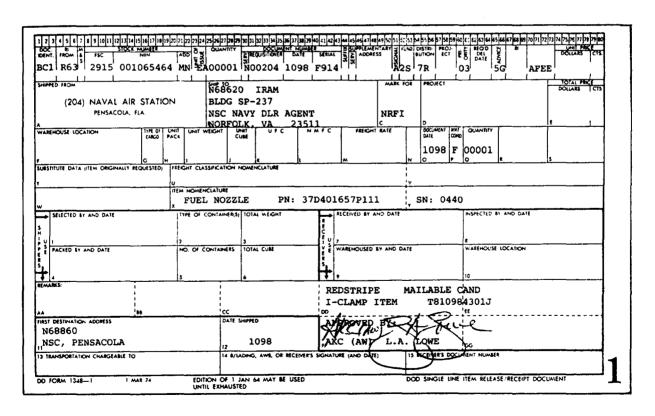


Figure 3-13.—DD Form 1348-1, turn-in unserviceable DLR.

assistance modules (MAMs) and ready service spares (RSSs) are located in the appropriate operating and maintenance spaces under the subcustody of the operating or maintenance personnel.

### RESPONSIBILITY

The supply officer is responsible for the storage, security, and inventory control of all stock material in his or her custody.

Although stock levels should be stored in supply department storerooms or spaces, it may be necessary to store bulk consumables such as lumber, metal, and pipe or certain repair parts in spaces under the control of other department heads. If it is necessary to store material in other department spaces, the supply officer will obtain the commanding officer's written authorization for such storage.

#### STORAGE OF PERSONAL GEAR

No personal gear (regardless of whose it is) may be stored in supply department storerooms without written approval of the commanding officer.

## LOST, DAMAGED, OR DESTROYED MATERIAL

Personnel assigned the responsibility for physical custody of stock material must report any damage, deterioration, or shortage to the supply officer immediately. The custodian will not be held responsible for material lost, damaged, or destroyed as a result of fire or flooding, providing the emergency did not arise from that person's negligence and provided that all reasonable steps to prevent the loss or damage were taken.

#### SECURITY OF MATERIAL

Material in store must be kept under lock and key in all cases except when the material is of such quantity or dimensions as to make storeroom storage impractical. Storeroom spaces must be locked securely when not in use.

When the spaces are open for use, an authorized person must always be present. Other persons will be admitted only when necessary for the storage or breakout of material or in situations discussed in the following paragraphs.

#### **Inspection of Spaces**

Personnel may be allowed access to storage spaces for purposes of inspection and as directed by the commanding officer. However, such personnel may not be given keys for the spaces, but will be escorted by responsible persons as directed by the supply officer.

#### **Access for Damage Control**

Access to storage spaces may be authorized to damage control personnel in the performance of their duties. Storage spaces must be secured in such a manner that access by use of ordinary damage control equipment is not obstructed in an emergency.

#### **Permission for Entry**

Permission for entry to supply storage spaces of personnel not ordinarily authorized access will be granted only by the supply officer or, in his or her absence, the commanding officer, executive officer, or command duty officer, as appropriate.

#### **MATERIAL SURVEYS**

Material survey is a procedure for determining the cause of gains, losses, or damage to Navy property, establishing personal responsibility (if any), and documenting necessary inventory adjustments to stock records. The procedures discussed in this section are used when possible survey action is indicated.

When an inventory adjustment and preliminary research cannot resolve the discrepancy, the accountable and responsible individuals initiate a detailed review of the circumstances surrounding the possible adjustments (known as causative research). A Report of Survey, DD Form 200, is prepared and forwarded to the appropriate survey officials.

When the report of survey is for stock material, the inventory adjustments are entered into SUADPS-RT via the survey adjustment function only after approval of the survey.

### **SURVEY REQUIREMENTS**

When a loss or gain of material in the following categories is confirmed, a Report of Survey, DD Form 200, is prepared.

The categories of survey material are supply system stock material and property book material.

#### **Supply System Stock Material**

Supply system stock material is composed of the following:

- Sensitive items such as drugs, precious metals, narcotics, and alcohol regardless of money value
- Classified material regardless of dollar value
- Arms, ammunition, and explosives regardless of dollar value
- Pilferable, valuable, and attractive items that easily convert to personal use (such as hand tools, individual clothing, office machines, and photographic equipment) and with a money value greater than \$500
- Bulk petroleum products (refer to NAV-SUP P-485, paragraph 5126)
- Noncontrolled items when the extended dollar value exceeds the causative research threshold of \$2,500 (\$5,000 for combat logistics force food items)
- Mandatory turn-in repairable (MTRs) regardless of money value
- Discrepancy or repetitive loss where there is an indication or suspicion of fraud, theft, negligence, or other personal involvement where a law was broken (UCMJ, federal, state, or local)

#### **Property Book Material**

Property book material consists of all government property other than supply system stock. It includes military real property, military personal property, weapons and other military equipment in use, and plant equipment. When property book material is lost, commanding officers must determine if a report of survey is required to assign responsibility, adjust records, or provide relief from accountability. Normally all items in this category are subject to survey, with the following exceptions:

• When the loss of a motor vehicle is involved, a motor vehicle accident investigation

report may be used instead of a survey. The accident report may be used for survey purposes only when the investigation clearly indicates that there is no negligence, personal injury, or claim against the government.

- Discrepancies in quantities transferred to disposal are not surveyed provided that the value of the loss is less than \$50 per line item and does not involve sensitive items. A pattern of shortages may trigger an investigation to identify theft or intentional losses of items to avoid turn-in documents.
- Special tooling and special testing equipment reporting procedures should be provided by the cognizant laboratory or hardware systems command.
- Noncontrolled items with a unit price of less than \$1,000 should not be surveyed, unless there is suspicion of fraud, negligence, or other personal responsibility.

## Missing, Lost, Stolen, and Recovered Reports

In addition to the above procedures, SEC-NAVINST 5400.4 should be consulted with respect to the policy of missing, lost, stolen, and recovered (MLSR) reports. ADD Form 200 and the MLSR report are required for losses of sensitive or classified items and for arms, ammunition, and explosives.

# PREPARATION OF REPORT OF SURVEY, DD FORM 200

The DD Form 200 is used to document the report of survey and certify the survey process when government property is gained, lost, or damaged. This form is the official document to support establishment of debts, relief from accountability, and adjustment to accountable records for supply system stock and property book material. Preparation of the DD Form 200 may vary slightly, depending on the nature of the asset (property book material or supply system stock). The Report of Survey, DD Form 200 (front and reverse) are shown in figures 3-14 and 3-15, and instructions for its preparation are listed in table 3-2.

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OUTIME USES: To initiate investigations of lo	osses/gains of DoC	)-controlled property	and record the findir	ngs'	2. SURV	EY NUMBER
ISCLOSURE IS VOLUNTARY: Refusal to explain amaged, or destroyed may be considered with	in the circumstan	ces under which the	property was lost,		3. DATE	LOSS/GAIN DISCOVERED
ecuniarily liable.  NATIONAL STOCK NO.   S. ITEM DESCRIP			6. QUANTITY	لسيب	(YYM	MDD)
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Figure 3-14.—Report of Survey, DD Form 200 (front).

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			f. SIGNATURE		g. DATE SIGNED
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Figure 3-15.—Report of Survey, DD Form 200 (reverse).

Table 3-2.-Instructions for Preparation of DD Form 200

Block	Entry Instructions
1	Block 1a is checked in all cases.
2	Survey number. The expenditure number assigned after the survey has been approved by the appropriate official. For multiple line items, enter See attached list in this column.
3	Date. Year, month, and day the gain or loss was discovered.
4	NSN. The national stock number or manufacturer's part number of the item being surveyed. Multiple items may be included on the report of survey when circumstances of loss or damage are related to the same incident. Enter See attached list in this block.
5	Item description. Enter the nomenclature of the lost or damaged property including serial numbers, security codes, and model numbers. When the material is nonstandard, enter the appropriate identification or description of the item. When additional space is required, a continuation sheet may be used.
6	Quantity. Enter the number of items and unit of issue (example: 1EA, 2DZ, 5PR)
7	Unit cost. Enter the cost per unit for supply system stock. (Use standard price from the ML-N.)
8	Total cost. Block 6 is multiplied by block 7 and the total amount entered in this block.
9	Circumstances. The appropriate block should be checked. Complete statement of facts should be provided that includes but is not limited to the date, place of the incident, name, grade, SSN of all personnel concerned. The statement must answer the five basic questions of who, what, when, where, and how. The signature, typed name, and rank or rate of the individual performing the research is included in the lower right-hand space of this block.
10	Corrective/preventive actions. Corrective actions will be provided and measures will be prescribed to prevent future occurences.
11	Caustive research validator. The supervisor of the individual performing the research documented in blocks 9 and 10 signs this block.
12	Responsible officer. The signature of the individual appointed by proper authority to exercise proper care and custody of government property.

Table 3-2.-Instructions for Preparation of DD Form 200—Continued

Block	Entry Instructions
13	Accountable officer. The signature of the individual appointed to maintain stock, property, and financial records.
14	This block is completed only when personal responsibility is evident.
14b	Dollar amount of loss. The survey officer should take into consideration the standard price of the lost property when completing this block.
14c	Not applicable.
14d	Government loss. The survey officer should compute the financial loss to the government. (This block is completed only when personal responsibility is evident.)
15	Survey officer. Signature of the individual appointed to perform the survey and compute the loss to the government. (This block is completed only when personal responsibility is evident.)
16	Individual charged. When the individual charged refuses to sign this block, the refusal should be noted. (This block is completed only when personal responsibility is evident.)
17	Appointing official. The signature of the individual who performs the duties of the appointing official.
18	Approving official. The signature of the individual responsible for approving or disapproving the financial liability or relieving of responsibility.

### DISTRIBUTION OF THE SURVEY

Upon completion of the survey, the distribution of the DD Form 200 is as follows:

- Original. The original with all attachments is filed in the expenditure invoice file, if not required by higher authority.
- First copy. A copy of the approved survey is submitted to the TYCOM when the survey value exceeds \$100.
- Second copy. A copy is filed in the expenditure file with all attachments when the original is required by higher authority.

- Third copy. A copy is forwarded to the disbursing officer for collection when pecuniary liability is assessed.
- Fourth copy. A copy of the survey is attached to the shipping document when the surveyed item is to be turned in ashore for repair or disposal.
- Others. Additional copies are distributed as required locally or as directed by higher authority.

The approved DD Form 200, preliminary and causative research findings and recommendations, and all other documentation related to the surveyed material should be retained for a period of 3 years.